

OFFICE OF CRIMINAL JUSTICE PLANNING (OCJP)
FISCAL YEAR 1997/98 PROGRAM PLAN
FOR COMPETITIVE REQUEST FOR PROPOSALS

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OFFICE OF CRIMINAL JUSTICE PLANNING (OCJP)

PART 1 - INTRODUCTION

REQUEST FOR PROPOSALS FOR COMPETITIVE PROGRAMS FOR FY 1997/98

A. PROGRAM PLAN AT A GLANCE

1. INTRODUCTION TO THE REQUEST FOR PROPOSALS (RFP) PROCESS

This RFP provides information on how to prepare a proposal for grant funds in accordance with authorizing legislation and funding terms, conditions and eligibility criteria established by OCJP. A complete proposal submitted to OCJP includes OCJP forms, technical documents and project narratives.

OCJP is strongly committed to work closely with potential applicants to provide technical information on an RFP when requested. However, OCJP staff cannot assist applicants with the actual preparation of their proposals. During the period of time between the publication date of the RFP and the date that competitive proposals are due, OCJP can answer only technical questions about the RFP.

2. FY 1997/98 COMPETITIVE APPLICATIONS WITHIN THIS PROGRAM PLAN

The following programs are open for competitive applications for FY 1997/98 and **are included in this Program Plan.**

FY 1997/98 COMPETITIVE APPLICATIONS WITHIN THIS PROGRAM PLAN			
PROGRAM	AMOUNT	DUE DATE	CONTACT
Abuse Reactive African American High Risk Youth Project	\$ 56,800	May 22	Violence Against Children / Domestic Violence Branch (916) 323-7449/ cheryla@ocjp1.ocjp.ca.gov
Child Pornography Law Enforcement Training Program	\$ 75,000	May 14	Violence Against Children / Domestic Violence Branch (916) 323-7449/ cheryla@ocjp1.ocjp.ca.gov
Children's Tribal Court Training Program	\$112,000	May 20	Violence Against Children /Domestic Violence Branch (916) 323-7449/ cheryla@ocjp1.ocjp.ca.gov
Grief Resolution for Abused/Traumatized Children Program	\$ 56,800	May 15	Violence Against Children / Domestic Violence Branch (916) 323-7449/ cheryla@ocjp1.ocjp.ca.gov
Multidisciplinary Child Abuse Advocacy Program	\$370,000	May 13	Violence Against Children / Domestic Violence Branch (916) 323-7449/ cheryla@ocjp1.ocjp.ca.gov
Operation Revitalization Program	\$2,750,000	May 28	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Serious Habitual Offender Program	\$ 547,000	May 12	Gang Violence Suppression Branch (916) 327-3682 / mike@ocjp1.ocjp.ca.gov
Special Emphasis Victim Assistance and Special Victim Assistance Programs	\$ 1,600,000	May 14	Victim/Witness Branch (916) 324-9128 judy@ocjp1.ocjp.ca.gov

3. FY 1997/98 COMPETITIVE PROGRAMS NOT INCLUDED IN THE PROGRAM PLAN

The following programs will be selecting new projects for FY 1997/98 through separate application processes. **THEY ARE NOT INCLUDED IN THIS PROGRAM PLAN.** For further information regarding these programs, please see the OCJP Overview Booklet included with this Program Plan, or contact the branch listed.

FY 1997/98 COMPETITIVE PROGRAMS NOT INCLUDED IN THE PROGRAM PLAN		
PROGRAM	PROJECTED DUE DATE	CONTACT
Career Criminal Apprehension Program	May 6	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Career Criminal Apprehension Program - Technical Upgrade	June 4	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Juvenile Justice and Delinquency Prevention Program	June 17	Juvenile Justice/Delinquency Prevention Branch (916) 324-9124 / bette@ocjp1.ocjp.ca.gov
Rape Victim Counseling Center Program - Unfunded Counties	July 1997	Sexual Assault Branch (916) 324-9120 / linda@ocjp1.ocjp.ca.gov

4. FY 1997/98 APPLICATIONS FOR CONTINUING FUNDING NOT INCLUDED IN THIS PROGRAM PLAN

The following programs **are not open for competitive application for FY 1997/98.** These programs have previously selected projects for funding, which will receive continuation funding in FY 1997/98. Instruction and forms for continuation funding will be distributed separately to eligible projects.

FY 1997/98 APPLICATIONS FOR CONTINUING FUNDING NOT INCLUDED IN THIS PROGRAM PLAN		
PROGRAM	FISCAL YEAR FOR NEXT COMPETITIVE CYCLE	CONTACT
Career Criminal Apprehension Program	1998/99	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Career Criminal Prosecution Program	1998/99	Victim/Witness Branch (916) 324-9128 judy@ocjp1.ocjp.ca.gov
Child Abuse Treatment Program	2000/01	Violence Against Children / Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Child Abuser Vertical Prosecution Program	1999/00	Violence Against Children / Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Child Sexual Abuse Prevention Training Program	2000/01	Violence Against Children/ Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Child Sexual Abuse Treatment Program	2000/01	Violence Against Children/ Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Child Sexual Exploitation Intervention	Non-Competitive	Violence Against Children/ Domestic Violence

FY 1997/98 APPLICATIONS FOR CONTINUING FUNDING NOT INCLUDED IN THIS PROGRAM PLAN		
PROGRAM	FISCAL YEAR FOR NEXT COMPETITIVE CYCLE	CONTACT
Program		Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Community Crime Resistance Program	1998/99	Gang Violence Suppression Branch (916) 327-3682 / mike@ocjp1.ocjp.ca.gov
Domestic Violence Assistance Program	To Be Determined	Violence Against Children/ Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Drug Control Strategy	Non-Competitive	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Family Violence Prevention Program	1998/99	Violence Against Children/ Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Gang Violence Suppression Program, Multi Component Model	1998/99	Gang Violence Suppression Branch (916) 327-3682 / mike@ocjp1.ocjp.ca.gov
High Risk Youth Continuum of Services Program	1999/00	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Homeless Youth Emergency Services Program	Non-Competitive	Violence Against Children/ Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Joint Venture Program	Non-Competitive	Victim/Witness Branch (916) 324-9128 judy@ocjp1.ocjp.ca.gov
Juvenile Justice & Delinquency Prevention Program	1998/99	Juvenile Justice/Delinquency Prevention Branch (916) 324-9124 / bette@ocjp1.ocjp.ca.gov
Legal Training Program	Non-Competitive	Gang Violence Suppression Branch (916) 327-3682 / mike@ocjp1.ocjp.ca.gov
Major Narcotic Vendors Prosecution Program	Non-Competitive	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Marijuana Suppression Program	1999/00	Anti-Drug Abuse Branch (916) 324-9112 lindao@ocjp1.ocjp.ca.gov
Rape Victim Counseling Center Program - Basic Operations	1998/99	Sexual Assault Branch (916) 324-9120 linda@ocjp1.ocjp.ca.gov
Residential Substance Abuse Treatment Program	To Be Determined	Anti-Drug Abuse Branch (916) 324-9112 / lindao@ocjp1.ocjp.ca.gov
Statutory Rape Vertical Prosecution Program	Non-Competitive	Violence Against Children/ Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov
Suppression of Drug Abuse in Schools Program	1999/00	Gang Violence Suppression Branch (916) 327-3682 / mike@ocjp1.ocjp.ca.gov
Vertical Defense of Indigents Program	1998/99	Gang Violence Suppression Branch (916) 327-3682 / mike@ocjp1.ocjp.ca.gov
Victim's Legal Resource Center	Non-Competitive	Victim/Witness Branch (916) 324-9128

FY 1997/98 APPLICATIONS FOR CONTINUING FUNDING NOT INCLUDED IN THIS PROGRAM PLAN		
PROGRAM	FISCAL YEAR FOR NEXT COMPETITIVE CYCLE	CONTACT
		judy@ocjp1.ocjp.ca.gov
Victim/Witness Assistance Program	Non-Competitive	Victim /Witness Branch (916) 324-9128 judy@ocjp1.ocjp.ca.gov
Youth Emergency Telephone Referral Program	Non-Competitive	Violence Against Children/ Domestic Violence Branch (916) 323-7449 cheryla@ocjp1.ocjp.ca.gov

B. INFORMATION ON THE RFP PROCESS

1. DETERMINING ELIGIBILITY

The first step in the application process should be to confirm that the applicant is able to meet the eligibility criteria for the program. OCJP interprets eligibility criteria to mean eligibility to receive funding instead of eligibility to apply. Applicants should refer to the specific Programmatic Instructions to determine if they fall within the eligibility criteria for the desired program.

Unless required by the specific Programmatic Instructions, documentation to support a selected applicant's eligibility (e.g., proof of nonprofit status) will not be required until an applicant has been selected for funding.

2. SELECTION OF PROPOSALS FOR FUNDING

a. Proposal Rating

All qualified proposals will be read and rated by a team usually consisting of three raters. The raters will assign a numerical score to each proposal. The raw score of each rater will be totaled and averaged to obtain a single score for the proposal. The averaged scores of all qualified proposals will then be ranked numerically to develop a ranked list for each program. The rating forms that will be used for this process are included in the Programmatic Instructions section for each program. These forms are provided as information only and are not to be submitted with the proposal.

b. Funding Recommendations

Recommendations for funding will be based on the following:

- the ranked score of the proposal;
- consideration of the funding priorities or geographical distribution of selected proposals as applicable to each program; and
- prior administrative and programmatic performance and compliance as an OCJP-funded project, if applicable.

Projects that have been previously funded by OCJP will be reviewed for past compliance, including financial management, progress and annual reports, monitoring results, audit reports and any other relevant documentation or information. This review may result in one or more of the following actions: a) the project may not be selected for funding; b) the amount of funding may be reduced; or c) Grant Award Conditions may be placed in the Grant Award Agreement.

Recommendations for funding are submitted to the Executive Director of OCJP who makes the funding decisions, **with the following exceptions:**

- The Executive Director of OCJP makes funding recommendations to the State Advisory Committee (SAC) on the Sexual Assault Victims Services/Prevention Program, which makes the final funding decisions in accordance with California Penal Code Section 13837; and
- The Executive Director of OCJP makes funding recommendations to the State Advisory Group (SAG) for the Juvenile Justice and Delinquency Prevention Program, which makes the funding decisions as authorized by the California Council on Criminal Justice in accordance with California Penal Code Section 13813.

c. Notification Process

All applicants submitting a proposal will be notified in writing of the results of the rating process. Projects selected for funding will simultaneously receive the OCJP Grantee Handbook and the Grant Award Forms Package, which includes additional forms and instructions. Applicants which are not selected for funding will receive a letter and information on the appeals process.

Applicants may appeal the denial of their proposal for funding by filing a written notice of intent to appeal. The grounds for such an appeal are limited to specific facts demonstrating that the criteria and priorities enunciated in the RFP were not followed in making the funding decision regarding the appellant's proposal.

3. STANDARD PROJECT FUNDING AUTHORITY

Allocation of funds is contingent on the enactment of the State budget. OCJP does not have the authority to disburse any funds until the budget is passed and the Grant Award Agreement is fully executed. Until such time, projects must refrain from incurring any expenditures. Any expenditures incurred prior to authorization are made at the project's own risk. When the executed grant is received, authorized expenditure reports may be submitted for reimbursement of grant funds.

If, during the term of the Grant Award, the State and/or federal funds appropriated for the purposes of the Grant Award are reduced or eliminated by the California Legislature or the United States Government, or, in the event revenues are not collected at the level appropriated, OCJP may immediately terminate or reduce the Grant Award by written notice to the grantee. However, no such termination or reduction shall apply to allowable costs already incurred by the grantee to the extent that State or federal funds are available for payment of such costs.

OCJP Grant Award Agreements are subject to applicable restrictions, limitations or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the agreement.

4. PROCESSING GRANT AWARDS

a. Submission of Additional Materials

Upon selection of the projects to be funded, OCJP will send the Grant Award Forms Package to the grantee for completion prior to the finalization of the Grant Award Agreement. OCJP is not obligated to fund such projects until the applicant submits correctly completed documents required for the Grant Award Agreement. The final, completed and approved application becomes the Grant Award Agreement when signed by OCJP's Executive Director or designee.

Two of the additional items to be submitted are the Assurance of Compliance (OCJP 656) and a resolution. Upon selection of projects to be funded, OCJP will send the Certification Form and specific details regarding Equal Employment Opportunity Program (EEOP) development, Drug Free Workplace Compliance, CEQA/Environmental Impact Compliance, and Lobbying and Debarment/Suspension requirements in the Grant Award Forms Package. Applicants selected for funding will then be required to submit the necessary assurances and documentation before finalization of the Grant Award Agreement. In signing the Grant Award Face Sheet, the applicant formally notifies OCJP that the applicant will comply with all pertinent requirements.

If selected for funding, a resolution from the governing board or council, authorizing the applicant to enter into a Grant Award Agreement with OCJP, will be required for each Grant Award Agreement. Applicants selected for funding will be required to submit an original or a current certified copy of a resolution from the governing board or council. To avoid funding delays, an applicant selected for funding should immediately request that a resolution be placed on the agenda of the governing board or council.

b. Grant Award Conditions

OCJP may add one or more Grant Award Conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the applicant and a copy will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant Award Conditions may include requirements for sole-source justification, a computer feasibility study or any other requirements deemed necessary by OCJP.

c. Grant Award Agreement

A copy of the executed Grant Award Agreement and all the attachments will be sent to the project director. Applicants are not authorized to incur costs against the grant until they have received a copy of the fully executed Grant Award Agreement. When the executed grant is received, the OCJP Form 201, Report of Expenditure and Request for Funds, may be submitted for reimbursement.

d. Grant Award Amounts

Due to the limited amount of funds available, it may be necessary for OCJP to reduce the amount of the grant award from that requested by the applicant. In addition, OCJP reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OCJP will notify the applicant prior to executing the Grant Award.

5. ADMINISTRATIVE REQUIREMENTS

The following requirements will apply to all projects selected for funding. These requirements are explained below for your planning purposes.

a. OCJP Grantee Handbook

The Grantee Handbook will be provided to projects which are selected for funding. The Grantee Handbook contains administrative information and requirements necessary to implement the project. Grantees must administer their grants in accordance with the OCJP Grantee Handbook requirements. Failure to comply with these requirements can result in the withholding or termination of the Grant Award.

b. Progress Reports and Data Collection

Funded projects are required to participate in data collection and to submit reports required by the program. Projects are required to keep accurate records to document their progress in achieving the objectives. These records must be kept by the project for a period of three years. During programmatic monitoring visits, OCJP will review these records for accuracy and compare them with the reported data submitted on the progress reports.

c. Monthly/Quarterly Report of Expenditure and Request for Funds (OCJP 201)

Community-based organizations (CBOs) shall submit a Monthly Report of Expenditures (OCJP 201) unless they request a quarterly reporting period. All government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting these forms will result in the withholding of funds and may result in the termination of the grant award.

d. Technical Assistance/Site Visits

Each project selected for funding is assigned a program specialist by OCJP to monitor the progress of the project in achieving its goals and objectives and compliance with the Grant Award Agreement. Program specialists are technical experts on the criminal justice system and in the administrative execution of grant award agreements. They are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. Projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Projects must coordinate any changes to the project with the program specialist.

e. Monitoring Requirements

A monitoring visit is an on-site assessment by the OCJP Monitoring and Program Effectiveness Branch to determine if the project is in compliance with the Grant Award Agreement, the Program Guidelines and the Grantee Handbook. The goal of the monitoring process is to support program branches in helping projects achieve their goals. Projects will be monitored on a random or as-needed basis. The monitoring will cover all areas of project operation and will review the project's "source documentation" as substantiation for project goals, objectives and activities.

f. Evaluation Component

The Monitoring and Program Effectiveness (MPE) Branch is also responsible for determining program effectiveness through various assessment, evaluation and review techniques. Discussion of project effectiveness may include reviewing the Request for Proposals (RFP) and reapplication process, authorizing legislation and/or training issues. By working closely with all branches, the MPE Branch will gather information to recommend specific program modifications and assist OCJP in providing improved technical assistance to all projects. MPE research staff also serve to coordinate and monitor evaluations and assessments of OCJP programs conducted by outside agencies.

g. Bonding Requirements

All private nonprofit organizations are required to obtain and send to OCJP a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to all officials and employees of OCJP-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Office of Criminal Justice Planning."

The time period covered by the bond must include the effective date and total time period of the grant including any extensions. The bond must be in an amount equal to 50% of the total grant award and may have a deductible in an amount not to exceed \$1,000. The bond must be accompanied by proof of payment and indicate the following:

- bonding company name,
- bond number,
- description of coverage,
- amount of coverage, and
- bond period.

A bond is not required of applicants sponsored by units of government. Nonprofit organizations sponsored by units of government may submit documentation indicating this in lieu of the bond or equivalent insurance contract unless specifically required in the Programmatic Instructions of the RFP or Grant Award Conditions.

h. Audit Requirements

All grantees must arrange for an independent audit of the Grant Award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the project budget section of the General Instructions.

i. Copyrights, Rights in Data and Patents

OCJP reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish and use, in whole or in part, any materials produced by activities supported by a Grant Award Agreement, and to authorize others to do so. Specifics are detailed in the OCJP Grantee Handbook provided with the Grant Award Forms Package to applicants selected for funding.

j. Source Documentation

The applicant, if selected for funding, will also be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. Projects are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the Programmatic Instructions.

Projects must have written job descriptions on file for all positions funded by OCJP detailing specific grant-related activities to achieve project objectives (e.g., the victim/witness advocate will provide direct services to victims and witnesses of crimes; provide information to victims about the criminal justice system; and assist victims with reimbursement from the Restitution Fund through the State Board of Control). These duty statements shall reflect grant-related duties and should not be the standard job classification description for this title of position within your agency. Where applicable, job descriptions will also include a statement addressing the tracking of project activities and the maintenance of appropriate source documentation in support of data reported on progress reports (e.g., The deputy probation officer will supervise a caseload of drug or drug-related probationers, not to exceed 25; implement intensive supervision techniques consistent with OCJP standards; and maintain source documentation in support of data reported to OCJP on progress reports.)

6. GLOSSARY OF TERMS

Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Grantee	The agency or organization designated on the Grant Award Face Sheet who is the programmatic recipient of the grant funds and will accomplish the planned objectives and program goals (e.g., Alameda County, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Application	Once selected for funding, the original proposal plus any additional forms as required by OCJP becomes the application. This application, once signed by OCJP and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-based Organization (CBO)	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code.
Competitive Bid	All suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.

EEOP Guidelines	Extensive description of State and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist grantees in ensuring nondiscrimination and in the development, implementation and/or improvement of their EEOP for compliance with the law.
Grant Award/Grant Award Agreement	The signed final agreement (application) between OCJP and the local government agency or organization authorized to accept grant funding. (See Application.)
Grant Award Forms Package	The package to be sent to projects selected for funding containing forms needed for the final Grant Award Agreement.
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request-for Proposal (RFP) or the Application for Continuation Funding (REAP/RFA), which the project narrative, objectives, activities and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (OCJP A301).
Grantee Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions.
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet who is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Memorandum of Understanding (MOU)	This term is used synonymously with Operational Agreements.
Nonprofit Organization	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code. The term is used synonymously with community-based organization.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project.
Program	A specific set of goals and objectives established pursuant to legislative, congressional or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from State or federal funding sources.

Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OCJP grant-funded program.
Project	The implementation of a program's goals and objectives by a (funded) state or local government agency or community-based organization.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to OCJP which specifies the priorities, strategies and objectives of the applicant.
REAP	The Reapplication is a non-competitive application issued by OCJP to projects which will be receiving continuation funding.
RFA	The Request-for-Applications is a non-competitive application issued by OCJP.
RFP	The Request-for-Proposals is issued by OCJP to solicit competitive proposals relating to new funding.
Single Source	One supplier can be documented as being uniquely positioned to provide the service.
Sole Source	A specific supplier can be identified as the only supplier able to provide the services required by the department.
Supplanting	To reduce federal, state or local funds because of the existence of OCJP funds. Supplanting occurs when a grantee replaces its non-OCJP funds with OCJP funds, thereby reducing the total amount available for the stated purpose.

OFFICE OF CRIMINAL JUSTICE PLANNING

PART 2 - GENERAL INSTRUCTIONS

REQUEST FOR PROPOSALS FOR COMPETITIVE PROGRAMS

FOR FISCAL YEAR 1997/98

This Request for Proposals (RFP) pertains to applications for Fiscal Year (FY) 1997/98. The terms and conditions described in this RFP supersede all previous RFPs and any conflicting provisions stated in the OCJP Grantee Handbook. **If the Programmatic Instructions for the proposal conflict with the General Instructions, the Programmatic Instructions prevail.**

This RFP contains all of the instructions and forms necessary to submit a proposal. The applicant will not need separate program guidelines or the OCJP Grantee Handbook in order to prepare a proposal. The OCJP Grantee Handbook will only be sent to agencies which have been selected for funding.

A. STRUCTURE OF THIS PROGRAM PLAN

This Program Plan has been printed in a way that will allow the user to take the document apart and reproduce any necessary pages. OCJP authorizes reproduction of this document in part or in whole. The document is comprised of three main sections.

- **PART 1 - INTRODUCTION:** This section provides information concerning the process by which an applicant submits a proposal, the process OCJP uses to select proposals, and the administrative requirements of successful applicants once selected for funding.
- **PART 2 - GENERAL INSTRUCTIONS FOR ALL APPLICANTS:** This section provides general instructions and forms for the preparation of all proposals, regardless of the specific program for which the proposal is prepared.

The forms in this part of the program plan are standard to the proposal process. These forms will be needed in the preparation of proposals for all programs. A clean set of these forms should be maintained for use as master copies. Precious time may be lost contacting OCJP to request additional blank copies of forms.

- **PART 3 - SPECIFIC PROGRAMMATIC INSTRUCTIONS:** This section provides a series of separate and program specific instructions. There is a separate section of instructions for each program included in this Program Plan. Any forms specific to a program will be included with the specific programmatic instructions section for that program.

In order to prepare a proposal, an applicant must comply with all of the instructions in **both** the General Instructions and the Programmatic Instructions of the specific program for which the proposal is prepared.

We recommend that the applicant agency **maintain a clean copy** of each of the sections of this RFP. If the applicant agency intends to submit more than one proposal, the grant writers of the various proposals will need to reproduce the General Instructions and specific Programmatic Instructions of the program for which the proposal will be prepared.

B. PREPARING A PROPOSAL

When completed, a proposal should be comprised of the following five components:

- Grant Award Face Sheet (OCJP A301)
- Preference Points Certification Form
- Project Narrative
- Project Budget (OCJP A303a-c) and Budget Narrative
- Proposal Appendix

NOTE: Failure to include all of the required components may result in a reduced score, or disqualification. OCJP will not advise applicants that their proposal is incomplete prior to rating or disqualification.

The instructions in this section correspond to each of the proposal components. These instructions also correspond to the forms provided in the General Instructions section, which apply to the same five proposal components.

Applicants should use the forms provided or computer-generated forms, and plain white paper for the project narrative sections. If computer-generated forms are used, they must duplicate the OCJP forms and must not allow the applicant more space than that provided on the OCJP forms. The Programmatic Instructions may specify a space limitation. If a space limitation is specified, strict adherence to the space limitation is required. Information submitted in excess of the space limitation **will not be read or rated.**

Proposals should be typed or computer-generated. Typed or computer-generated characters should be no smaller than the equivalent of standard 12 pitch print. **Applicants are encouraged to double space proposals.** Page size should not exceed standard 8 1/2 x 11 inch paper.

Copies of the proposal should be assembled separately and individually fastened in the upper left corner. **DO NOT BIND PROPOSALS.**

C. SUBMITTING A PROPOSAL

In order to submit a proposal, applicants must deliver the proposal to OCJP by the deadline.

- **Deliver the proposal to OCJP:** Applicants should submit one original and three copies of the proposal. Applicants must mail or hand deliver proposals to:

Office of Criminal Justice Planning
1130 K Street, Suite LL60
Sacramento, California 95814
Attn: (Specify Program Name from Programmatic Instructions)

Please note the following:

1130 K Street is located at the southwest corner of the intersection of 12th and K Streets. Please note that K Street is a pedestrian mall at this location.

Indoor parking structures are located on the east side of 12th Street between K and L Streets and on 10th Street between K and L Streets. Street parking is limited, and require quarters for parking meters.

Once you enter the building at 1130 K Street, take the elevator to the Lower Level and deliver the proposal to LL60. The proposal will be date stamped and you may request a receipt.

- **By the deadline:** The deadline for submission is specified in the Programmatic Instructions. **Proposals received after the deadline will not be considered for funding.** All proposals will be date and time stamped upon receipt at OCJP. It is the responsibility of the applicant to ensure that the proposal is received at OCJP by the specified deadline. OCJP will not be responsible for late or incomplete proposals due to mistakes or delays of the applicant or the carrier used by the applicant. A postmark is not sufficient. OCJP will not accept electronic facsimiles (fax) of the proposal. Materials submitted after the deadline will not be considered during the rating process. OCJP will not notify applicants regarding omissions or accept any late additions to a proposal.

D. GRANT AWARD FACE SHEET (OCJP A301)

1. **Administrative Agency:** Enter the complete name of the unit of government or private nonprofit organization that is applying for funding (e.g., Alameda County, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau, Inc.), also referred to as the "grantee".
2. **Implementing Agency:** Enter the complete name of the agency responsible for the day-to-day operation of the grant (e.g., Probation Department, District Attorney, Sheriff), and the contact person's name, address and phone number.
3. **Project Title:** Enter the complete title of the project. Do not use acronyms. Do not exceed 60 characters including spaces and punctuation.
4. **Project Director:** Enter the name, title, mailing address and telephone number of the individual ultimately responsible for the project. This information must be limited to four lines.
5. **Financial Officer:** Enter the name, title, mailing address, and telephone number of the person who will be responsible for all fiscal matters relating to the project. This person must be someone other than the project director. Warrants for the project will be mailed to the address shown for the financial officer. This information must be limited to four lines.
6. **Award Number:** Leave blank. (To be completed by OCJP.)
7. **Grant Period:** Enter beginning and ending dates of funding as specified in the grant application instructions.
8. **Federal Amount:** If applicable, enter the amount of federal funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
9. **State Amount:** If applicable, enter the amount of state funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
10. **Cash Match:** If applicable, enter the amount of cash match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
11. **In-Kind Match:** If applicable, enter the amount of in-kind match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
12. **Total Project Cost:** Enter the sum of items 8, 9, 10 and 11. The amount must be consistent with the proposed budget.
13. **Official Authorized to Sign for Applicant/Grantee:** Enter the signature, name, title, address and

telephone number of the person authorized by applicant's governing body in the resolution, by position or title, to sign and execute the grant award.

E. PREFERENCE POINTS CERTIFICATION FORM (A copy of this form is included in this RFP.)

California Government Code Section 7093 requires OCJP to give preference to applicants from areas in the state designated as Enterprise Zones. These are areas that have been identified to receive state contract preference points due to high unemployment, lower incomes and population density. The goal of the Enterprise Zone program is to stimulate growth in economically distressed areas. Five percent of the total possible points awarded will be added to the proposal for applicants that specifically target a designated zone for services. Two percent will be added to the proposal for applicants whose service area includes a zone, but who do not specifically target the area for services.

A list of Enterprise Zones, addresses and telephone numbers of contacts is presented below.

Applicants eligible for preference points must provide certification of eligibility by the appropriate agency. Self-certification is not allowed. A certification form is provided in this RFP. **Preference points do not apply to statewide projects.**

ENTERPRISE ZONE CONTACTS

(Revised November 1996)

California Trade & Commerce Agency	(916) 322-3432	Enterprise Zone Program 801 K Street #801 Sacramento, CA 95814
COMMUNITY	PHONE	ADDRESS
AGUA MANSA (EZ)		
Riverside County	(909) 275-6683 Fax 275-6686	Riverside County Econ. Div. Agency 3525 14th Street Riverside, CA 92501
San Bernardino County	(909) 388-0832 Fax 388-0844	Dept. of Community & Econ. Dev. 290 N. D Street 6th Floor San Bernardino, CA 92415-0040
City of Riverside	(909) 782-5519 Fax 782-5752	City Manager's Office 3900 Main Street, 7th Floor Riverside, CA 92522
City of Colton	(909) 370-5167 Fax 783-2656	Redevelopment Agency 552 N. LaCadena Drive Colton, CA 92324
City of Rialto	(909) 820-2528 Fax 873-2921	Dept. of Econ. Development 150 South Palm Avenue Rialto, CA 92376
ALTADENA/PASADENA (EZ)		
Pasadena	(818) 405-4761 Fax 405-4773	Enterprise Authority 100 North Garfield, Ste. 224 Pasadena, CA 91109
Altadena	(213) 890-7422 (213)890-8585	Los Angeles County CDC 2 Coral Circle Monterey Park, CA 91755-7432
BAKERSFIELD/KERN		
Kern County	(805) 862-5050 Fax 862-5052	Community Development Dept. 2700 M Street #250

		Bakersfield, CA 93301-2346
City of Bakersfield	(805) 326-3765 Fax 861-8326	Econ. Development/ Redevelopment Div. 515 Truxton Avenue Bakersfield, CA 93301
CITY OF CALEXICO	(619) 768-2177 Fax 357-5864	608 Heber Avenue Calexico, CA 92231
COACHELLA VALLEY	(619) 391-5176 Fax 391-5178	Coachella Valley Enterprise Zone Authority 790 Vine Avenue Coachella, CA 92236
DELANO(EZ)	(805) 721-3340 Fax 721-2135	City of Delano 1015 11th Avenue Delano, CA 93215
EUREKA (EZ)	(707) 441-4216 Fax 441-4138	City of Eureka 531 K Street Eureka, CA 95501-1165
FRESNO (EZ)	(209) 233-2564 Fax 233-2156	Fresno EDC 2344 Tulare Street Ste 100 Fresno, CA 93721
KINGS COUNTY	(209) 582-4326 Fax 582-7908	Crown Economic Development Corp. 1222 W. Lacey Blvd. Ste. 101 Hanford, CA 93230
LINDSAY (EZ)	(209) 562-7117 Fax 562-5748	Lindsay Community Dev. 251 E. Honolulu Street Lindsay, CA 93247
LONG BEACH (EZ)	(310) 570-3821 Fax 570-3897	City of Long Beach 200 Pine Avenue., 4th floor Long Beach, CA 90802
LOS ANGELES, CENTRAL CITY AND LOS ANGELES, NORTHEAST VALLEY	(213) 485-2956 Fax 237-0551	City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014
LOS ANGELES, EASTSIDE	(213) 485-4767 Fax 237-0551	City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014
LOS ANGELES HARBOR AREA	(213) 485-2956 Fax 237-0551	City of Los Angeles Community Development Dept. 215 W. 6th Street, 3rd Floor Los Angeles, CA 90014
LOS ANGELES WATTS County of Los Angeles	(213) 890-7203 Fax 890-8585	Community Development Commission #2 Coral Circle Monterey Park, CA 91755
City of Los Angeles	(213) 485-5725 Fax 237-0551	City of Los Angeles Community Dev. Dept 215 W. 6th Street, 3rd Floor Los Angeles CA, 90014
Huntington Park	(213) 584-6258 Fax 588-4577	Community Redevelopment Agency 6550 Miles Avenue

		Huntington Park, CA 90255
Lynwood	(310) 603-0220-X253 Fax 639-6957	Community Development Department 11330 Bullis Road Lynwood, CA 90262
South Gate	(213) 563-9562 Fax 567-0725	Community Development Dept. 8650 California Avenue South Gate, CA 90280
MADERA (EIA)	(209) 675-7768 Fax 675-3252	Madera County Industrial Dev. Corp. 425 Gateway Drive Ste. M Madera, CA 93637
MERCED/ATWATER(EZ) Merced County	(209) 725-3800 Fax 383-4959	Merced County Dept. of Economic Development 1632 N Street Merced, CA 95340
City of Atwater	(209) 357-6340 Fax 357-6363	City of Atwater Redevelopment Agency 750 Bellevue Road Atwater, CA 95301
City of Merced	(209) 385-4788 Fax 723-1780	City of Merced 678 West 18th Street Merced, CA 95340
OAKLAND (EZ)	(510) 238-6430 Fax 238-3691	Off. of Econ. Dev. & Emp. City of Oakland 1333 Broadway 9th Floor Oakland, CA 94612
OROVILLE (EZ)	(916) 538-2433 Fax 538-2426	City of Oroville 1735 Montgomery Street Oroville, CA 95965
PITTSBURG (EIA)	(510) 439-3505 Fax 439-7654	City of Pittsburgh 340 Marina Blvd. Pittsburg, CA 94565
PORTERVILLE (EZ)	(209) 782-7466 Fax 781-6437	City of Porterville P.O. Box 432 291 N. Main Street Porterville, CA 93258
RICHMOND (EZ)	(510) 307-8140 Fax 307-8149	City of Richmond Redevelopment Agency 330 25th Street Richmond, CA 94804
SACRAMENTO (EIA)	(916) 440-1399 Fax 447-2261	Sacramento Housing and Redevelopment P.O. Box 1834 630 I Street, #250 Sacramento, CA 95812-1834
SAN DIEGO-SAN YSIDRO/OTAY MESA/SE BARRIO LOGAN	(619) 236-6005 Fax 236-6512	City of San Diego 1200 3rd Avenue, Suite 1620 San Diego, CA 92101
SAN FRANCISCO (EZ)	(415) 749-2511 Fax 749-2590	Mayor's Office of Economic Planning and Development 770 Golden Gate Ave., 2nd Fl. San Francisco, CA 94102

SAN JOSE (EZ)	(408) 277-5880 Fax 277-3615	Office of Economic Development 50 W. San Fernando, Suite 900 San Jose, CA 95113
SANTA ANA (EZ)	(714) 647-6987 Fax 647-6549	City of Santa Ana 20 Civic Center Plaza, M-35 Santa Ana, CA 92701
SHAFTER (EZ)	(805) 746-6365 Fax 746-0607	City of Shafter 336 Pacific Avenue Shafter, CA 93263
SHASTA METRO (Redding/Anderson)	(916) 225-5300 Fax 225-5303	Shasta County EDC 737 Auditorium Dr., Suite D Redding, CA 96001
SHASTA VALLEY (Siskiyou County)(EZ)	(916) 842-1638 Fax 842-2685	Siskiyou County 1512 S. Oregon Yreka, CA 96097
STOCKTON (EZ)	(209) 937-8530 Fax 937-8904	City of Stockton 425 N. El Dorado Street Stockton, CA 95202-1997
WEST SACRAMENTO (EIA)	(916) 373-5843 Fax 373-5848	City of West Sacramento 1102 Jefferson Blvd. Ste. D West Sacramento, CA 95691
YUBA/SUTTER (EZ)	(916) 741-6248 Fax 742-7835	1482 Sky Harbor Drive, Ste. A Marysville, CA 95901

F. PROJECT NARRATIVE

The project narrative is the main body of information which describes the applicant, the need for funding and the plan to address a community problem/issue through appropriate and achievable objectives and activities. Instructions for preparing the project narrative are contained in the Programmatic Instructions

G. PROJECT BUDGET

This section provides standard requirements and instructions for preparing the budget. Refer to the Programmatic Instructions for additional instructions or requirements specific to the program.

The budget is the basis for management, fiscal review and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include only those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since all approved line items are subject to audit, applicants should not include in the project budget any matching funds in excess of the required match. All budgets are subject to OCJP modifications and approval.

OCJP requires the applicant to develop a line-item budget which will enable them to meet the requirements of the grant, ensure the successful implementation of the project and be cost effective. Applicants are thus instructed to prepare a realistic and prudent budget. The following information is provided to assist in the preparation of the budget. Strict adherence to all required and prohibited items is expected. Where the applicant does not budget for a required item, OCJP will assume the applicant will use its own funds. Failure of the applicant to include required items in the budget does not exclude responsibility to comply with those requirements during the implementation of the project.

1. Budget Narrative Instructions

All applicants are required to submit a budget narrative as part of the proposal budget. The budget narrative should be typed and placed in the proposal in front of the budget pages. In the budget narrative:

- Describe how the project's proposed budget supports the stated objectives and activities in the project.
- Discuss how funds are allocated to minimize administrative costs and support direct services.
- Describe the duties of project-funded staff, including any qualifications or education level necessary to the job assignment.
- Discuss how project-funded staff duties and time commitments support the proposed objectives and activities.
- Discuss any proposed staff commitment/percentage of time to other efforts, in addition to this project.
- Discuss the necessity of any subcontracts and any unusual expenditures.
- Discuss any mid-year salary range adjustments.

2. Budget Policy

- Supplanting Prohibited:** Grant funds must be used to supplement existing funds for program activities and not replace those funds which have been appropriated for the same purpose. If selected for funding, a written certification must be provided to OCJP that the grant funds will not be used to supplant state or local funds. Potential supplanting will be the subject of application review, post-award monitoring and audit.
- Project Income:** Project income, such as client fees and fees for services provided by the grantee (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products and conference proceeds as the result of a direct trade of time or products for money, must be used to offset or augment the grant, unless otherwise specified in the Programmatic Instructions. Project income cannot be used as matching funds, unless otherwise specified in the Programmatic Instructions.
- Sole/Single Source Requests:** A competitive bid process is required to purchase any equipment or consultant services with grant funds. Sole/single source approval is required prior to the purchase of equipment in excess of \$2,500 without using a competitive bid process, or to hire a specific consultant charging over \$2,500 without using a competitive bid process. Local units of government may use their approved procurement policy. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Although not recommended, whenever a specific individual/organization name is identified in the project budget, a sole/single source request will be required. OCJP will provide assistance in submitting a sole/single source request if the proposal is selected for funding and if OCJP determines that it is in the best interest of the project.
- Training:** Budget for all anticipated training related to the project. All applicants must budget for minimum of one OCJP-sponsored training session during the grant year. Applicants must also include sufficient per diem and travel allocations for persons to attend all required OCJP training conferences or workshops listed under the Programmatic Instructions. If several staff will be attending the same event, budget for the total number of people. A minimum of two project staff

from each participating agency must attend each training conference. Applicants should budget a minimum of \$200 for registration fees for each person plus the state per diem rate.

- e. **Match Policies:** The following information is provided to clarify match policies and to assist the applicant in the calculation of the match.

The specific Programmatic Instructions may specify a cash or in-kind match. The match must be from a source other than state or federal funds that are budgeted for the project. When used to augment the project, expenditures for items such as personnel, operating expenses or equipment are considered a match if not in violation of the prohibition on supplanting. All of the match specified in the budget will become part of the Grant Award. Specific instructions for calculating the match are provided below.

- 1) **State Funds Matching State or Federal Funds:** State and/or federal funds can be used to match other state and/or federal funds only if all of the following conditions have been met:

- a) The other funding source does not prohibit this practice;
- b) The funds are to be used for identical activities (e.g., to augment the project); and
- c) The project has obtained prior written approval from OCJP, or specific Programmatic Instructions allow this practice.

2) **Type of Match**

• **Cash Match**

Cash match, also known as hard match, is revenue from a source other than State or federal funds that is budgeted for the project. Cash match is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on supplanting.

• **In-Kind Match**

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them and are also budgeted. In-kind contributions represent the project's noncash outlay, including the noncash outlay contributed by other public agencies and institutions, private organizations and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value.

- 3) **Calculating Match:** There are two possible methods of calculating a match. If a match is required, the method of calculation is specified in the Programmatic Instructions. Generally, match requirements are based on a percentage of the funds allocated or on a percentage of the total project costs. The following information is provided to assist the applicant in calculating the required match.

- a) **Percent of Allocation:** With this method, the actual amount of the match is based on the funds allocated. Use the amount of grant funds requested as the allocation in calculating the match. Multiply the allocation requested by the percentage match required. **For example:** If a 10% match is required and the allocation requested is

\$100,000; multiply the \$100,000 by .10 = \$10,000 match required.

- 10% MATCH BASED ON PERCENT OF ALLOCATION

Grant Amount	=	\$100,000
Percent of Cash Match	=	10%
Multiply \$100,000 by .10	=	\$10,000 (amount of match)

b) Total Project Cost: With this method, the actual amount of the match is based on the total project costs. If the total project cost is known and is within the funding limits, simply multiply that amount by the percentage of match to obtain the match amount. If the total project cost is not known, calculate the match based on the following procedures:

- Deduct the percent match required from 100% to arrive at the figure by which the Grant Award amount will be divided. For example, if the match requirement is 10% of the total project costs, deduct 10% from 100% which equals 90% (.90) balance.
- To calculate the percent match, divide the Grant Award amount by the percent balance, then subtract the Grant Award amount to determine the local match. For example, to calculate a 10% percent match, divide the Grant Award amount by 90% which determines the total project costs, then subtract the Grant Award amount. The following example is provided to further assist in calculating the match based on total project cost.

- 10% MATCH BASED ON TOTAL PROJECT COST

Funds Awarded	=	\$100,000
Funds Awarded ^ .90	=	\$111,111 (total project cost)
	then	
Total Project Cost		\$111,111
Minus Grant Award Amount		<u>-100,000</u>
Total Project Match Required		\$ 11,111

3. Specific Budget Categories Instructions

There is a separate form in the Standard Forms section for each of the budget categories listed below. This section contains standard instructions for completing those forms. **Refer to the Programmatic Instructions for budget policy specific to the program when completing each section of the budget. Specific programmatic budget instructions supersede these general instructions.**

There are three budget categories in the proposal budget:

- Personal Services - Salaries/Employee Benefits
- Operating Expenses
- Equipment

Each budget category requires line-item detail which addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. Personal Services - Salaries/Employee Benefits (OCJP A303a) A copy of this form is included in the Standard Forms section.

- 1) **Salaries:** Personal services include all services performed by staff who are directly employed by the applicant and must be identified by position and percentage of salaries. All other staff are to be shown as consultants in the Operating Expenses Category supported by a memorandum of understanding, contract or operational agreement. Such documentation must be kept on file by the grantee and made available for review during an OCJP site or monitoring visit or audit. However, in the case of grants being passed through a grantee to be operated by another agency, the staff from the second agency will be shown in the Personal Services Category. In either case they may be salaried or hourly, full- or part-time positions.

Sick leave, vacation, holidays, overtime and shift differentials must be budgeted as salaries. If agency personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take that time off using project funds.

- 2) **Benefits:** Employee benefits must be identified by type and percentage of salaries. Applicants may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance and/or pension plans are allowable budget items. Other benefits, such as uniforms or California Bar Association dues, if negotiated as a part of the employee benefit package, are allowable budget items.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full- or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1-1/2 clerical positions).

- 3) **Prohibited Expense Items**

- a) **Bonuses/Commissions:** Projects are prohibited from paying any bonus or commission to any individual, organization or firm.

b. Operating Expenses (OCJP A303b) A copy of this form is included in the Standard Forms section.

- 1) **Allowable Expenses:** Allowable operating expenses are defined as necessary expenditures exclusive of personnel salaries and benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award) and be incurred (realized) during the grant period.

The following items fall within this category: consultant services, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an

acquisition cost of less than \$1,000 per unit (including tax, installation and freight) and/or with a useful life of less than one year fall within this category.

2) Prohibited Expense Items

- a) **Lobbying:** OCJP grant funds cannot be used for lobbying activities.
- b) **Fundraising:** OCJP grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.
- c) **Real Property and Improvements:** Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the Programmatic Instructions.
- d) **Interest:** The cost of interest payments is not an allowable expenditure.
- e) **Food and Beverages:** The cost of food and/or beverages at grant-sponsored conferences, meetings or office functions is not an allowable expenditure.
- f) **Weapons and Ammunition:** The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the Programmatic Instructions.
- g) **Membership Dues:** The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the Programmatic Instructions.
- h) **Professional License:** The cost of a professional license is not an allowable expenditure unless specifically authorized in the Programmatic Instructions.
- i) **Annual Professional Dues or Fees:** The cost of professional dues or fees is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized by the Programmatic Instructions.
- j) **Charges, Fees and Penalties:** Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.
- k) **Depreciation:** Depreciation charges are not allowable expenditures.

3) Travel

a) Selection of Travel Policy

Applicants may prepare the budget using their own travel policies or the state travel policies according to the following guidelines. Travel reimbursements will only be allowed based on actual costs.

- **Units of Government:** Units of government may use their own written travel policy or the state policy.
- **Private Nonprofit Organizations:** A private nonprofit organization that submits

a proposal to OCJP may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b) State Travel Policies

Use the following state travel policies for budgeting travel expenses:

- **Out-of-State Travel:** Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel will be reviewed if the applicant is selected for funding.
- **Mileage:** When a privately owned vehicle is utilized on project-related business, a maximum of 24 cents per mile is allowed, unless a higher rate is justified. This documentation must be on file and available for audit, but should not be submitted with the proposal.

- **Meals and Incidentals**

Breakfast \$5.50: Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 9:00 a.m.

Lunch \$9.50: Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

Dinner \$17.00: Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

Incidentals \$5.00: Incidentals may be claimed for trips of 24 hours or more.

Total: \$37.00

- **Lodging:** Statewide without a lodging receipt is \$24.99.

Statewide with a lodging receipt is the actual lodging expense up to \$79.00, plus applicable taxes.

- **Other:** Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt.

Parking in excess of \$6.00 must be supported by receipt.

- 4) Consultant Services:** Consultant services are provided on a contractual basis by individuals or organizations that are not employees of the applicant (see Personal Services-Salaries). Consultants must not be used in lieu of employees. Consultants are defined as individuals or organizations that meet some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;

- work on specific projects;
 - provide services for a limited number of hours or period of time; and/or
 - have no agency management or oversight responsibilities that are directed toward the financial success or direction of the agency.
- a) **Consultant Rates:** The policy is that the maximum rate for consultants is \$250 (excluding travel and subsistence costs) for an eight-hour day. An eight-hour day may include preparation, evaluation and travel time in addition to the time required for actual performance. A request for compensation for over \$250 a day requires PRIOR APPROVAL and additional justification.
- **Consultants Employed by State and Local Government:** Compensation for these consultants will be allowed when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.
- b) **Expert Witness Fees:** Prosecution or criminal defense projects which routinely utilize "expert witnesses" as consultants to conduct evaluations and provide expert testimony in the courtroom may budget for this expense. However, the grant may only be charged for costs above that which the county is required to cover. The maximum allowable rate for such witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed 10% of the project's total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:
- Qualifications, training and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert.
 - Specialized certification/licensure (e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW); Marriage, Family and Child Counselor (MFCC); Medical Doctor (MD)).
 - Rate of pay per hour. Provide documentation of a survey of the availability of similar consultants, the current "going rate" and the proposed rate of pay. Indicate cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony).
 - Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation).
 - Indicate why this cost cannot be paid with county funds. Attach a written justification to OCJP A303b.
- 5) **Facility Rental:** Up to \$18 per square foot annually (\$1.50 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds these rates, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.
- 6) **Rented or Leased Equipment:** If equipment is to be rented or leased, an explanation and cost analysis will be required if the proposal is selected for funding. This analysis must demonstrate that it is more cost effective to rent or lease the equipment than it is to purchase it and must be approved by OCJP prior to the execution of any rental or lease agreement.

- 7) **Indirect Costs/Administrative Overhead:** Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services and administrative salaries are examples of indirect costs.

Flat rates not exceeding 10% of personnel salaries (excluding benefits and overtime) or 5% of total direct project costs (excluding equipment) may be budgeted by applicants for indirect costs.

- 8) **Audits:** An audit is required for all OCJP recipients expending \$25,000 or more of OCJP grant awards. Applicants may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- If the total amount of the grant is less than or equal to \$150,000, the applicant may budget up to \$1,500 for the financial audit costs; or
- If the total amount of the grant is greater than \$150,000, the applicant may budget up to 1% of the total grant for financial audit costs.

- c. **Equipment (OCJP A303c)** A copy of this form is included in the Standard Forms section.

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laserjet printers should be one line item, not three).

- 1) **Allowable Expenses:** Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the applicant for equipment already purchased.

Rented or leased equipment must be budgeted as an operating expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification including cost effectiveness, with the Grant Award Forms Package. Prior approval by OCJP is required.

All equipment purchased in whole or in part with State or federal grant funds is the property of the State or the federal government. However, under certain conditions, equipment may be transferred to the grantee at the end of the grant period. Satisfactory compliance with the Grant Award Agreement will be reviewed in considering the transfer of equipment.

- 2) **Computers**

- a) **Nonprofit Organizations:** Applicants from nonprofit organizations may budget up to \$25,000 in computer equipment, software and related costs. Completion of a Computer Purchase Face Sheet with attached justification is required. Instructions for this requirement are included below. If the proposal is selected for funding, OCJP will evaluate the proposed purchase on the basis of grant-related need. OCJP must give approval prior to purchase.

- b) **Units of Government:** Applicants from units of government may budget for

computer equipment, software and related costs. Completion and submission of the requested information contained on a Computer Purchase Face Sheet with attached justification are required. If the proposal is selected for funding, OCJP will evaluate the proposed purchase on the basis of grant-related need. OCJP must give approval prior to purchase. If federal grant funds totaling in excess of \$50,000 are used for automated data processing purchases, prior federal approval is also required.

- c) **Computer Purchase Request and Justification:** Approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities.

Use a Computer Purchase Face Sheet to request the purchase of automated systems/computers. (A copy of this form is included in the Standard Forms section.) Attach a justification using as many pages as necessary to answer the following question(s). Include sufficient information to explain the requested system/computer. The amount of information necessary will be determined by the complexity of the proposed system.

If the total proposed computer system cost is under \$10,000, answer the following question:

- What is your agency's purpose for the proposed system? Include a description of the items to be purchased and how they will be used. Also, explain how the proposed equipment and/or software will enhance the project's ability to achieve the objectives/activities of the project as specified in the Grant Award Agreement.

If the total proposed computer system cost is \$10,000 or over, also answer the following questions:

- Describe the proposed design of your system and indicate whether this is a new system or an addition/enhancement of an existing one. In your description, please be specific as to type and location of hardware/software and how the system will be operated and maintained.
- Will the proposed system design meet not only your current, but future needs? Describe in detail.
- Does the proposed system integrate with others within the agency? Explain both yes and no responses in detail.
- Do you plan on integrating this system with existing city, county, regional or statewide networks? Explain both yes or no responses in detail.

For criminal justice agencies, also answer the following questions:

- Does the proposed system meet the minimum requirements of the Statewide Integrated Narcotics System (SINS)? Contact OCJP for additional information regarding SINS requirements.
- Does the proposed system include intelligence data subject to 28 CFR Part 23 of the Code of Federal Regulations? Contact Western States Information Network (WSIN) regarding these requirements and have them sign the certification of compliance.

By submitting this request along with the signed Grant Award Face Sheet, the project director certifies that all resources (e.g. hardware, software, personnel and telecommunications) to be utilized by this project are in compliance with all applicable standards, policies and procedures for automated systems as contained in the agency's local policies and operating procedures. The Computer Purchase Face Sheet and justification should be placed in the proposal appendix.

- 3) **Automobiles:** Automobiles may be allowable budget items unless prohibited by the Programmatic Instructions. If a vehicle is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for a vehicle, including the size of service area and the need to provide direct service away from the office, and the reason why the agency will not allow personal vehicle usage during working hours. A cost analysis for vehicle purchase as compared to other options, including lease and personal vehicle use with mileage, must be conducted and kept on file for review by OCJP at a site visit and by the auditor during the required annual audit.

H. PROPOSAL APPENDIX

The Proposal Appendix provides OCJP with additional information from the applicant to support components of the grant application. One example is listed below. Please refer to the Programmatic Instructions for specific requirements. The Programmatic Instructions may require submission of additional documents.

1. **Operational Agreements:** Operational agreements must have an original signature and demonstrate a formal system of networking and coordination with other agencies and the project. Those submitted with the proposal must be effective for the 1997/98 grant year. For the purpose of this RFP, the terms **operational agreement** and **memorandum of understanding** (MOU) are synonymous. A sample operational agreement is provided in the Standard Forms section of this RFP.

STANDARD FORMS

- A. Grant Award Face Sheet
- B. Preference Points Certification Form
- C. Project Narrative (no standard forms provided)
- D. Budget Pages
- E. Appendix Forms
 - Sample Operational Agreement
 - Computer Purchase Face Sheet

GRANT AWARD FACE SHEET

The Office of Criminal Justice Planning, hereafter designated OCJP, hereby makes a grant award of funds to the following **Administrative Agency (1)** _____ hereafter designated Grantee, in the amount and for the purpose and duration set forth in this grant award.

(2) Implementing Agency Name _____

Contact _____ **Address** _____

Telephone () _____

(3) Project Title (60 characters maximum)	(6) Award No.
(4) Project Director (Name, Title, Address, Telephone) (four lines maximum)	(7) Grant Period
	(8) Federal Amount
	(9) State Amount
(5) Financial Officer (Name, Title, Address, Telephone) (four lines maximum)	(10) Cash Match
	(11) In-Kind Match
	(12) Total Project Cost

This grant award consists of this title page, the proposal for the grant which is attached and made a part hereof, and the Assurance of Compliance forms which are being submitted. The grant recipient signifies acceptance of this grant award and agrees to administer the grant project in accordance with the statute(s), the Program Guidelines, this Request-for-Proposal (RFP) and the OCJP Grantee Handbook.

<p style="text-align: center;"><u>FOR OCJP USE ONLY</u></p> <p>Item: _____</p> <p>Chapter: _____</p> <p>PCA No.: _____</p> <p>Components No.: _____</p> <p>Project No.: _____</p> <p>Amount: _____</p> <p>Split Fund: _____</p> <p>Split Encumber: _____</p> <p>Year: _____</p> <p>Fed. Cat. #: _____</p> <p>Match Requirement: _____</p> <p>Fund: _____</p> <p>Program: _____</p> <p>Region: _____</p>	<p>(13) Official Authorized to Sign for Applicant/Grant recipient</p> <p>Name: _____</p> <p>Title: _____</p> <p>Address: _____</p> <p>Telephone: () _____</p> <p>Date: _____</p> <p>I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.</p> <p>_____ Fiscal Officer, OCJP Date</p> <p>_____ Executive Director, OCJP Date</p>
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Use this format if one is not provided by the Lead agency.

DATE:

TO: OFFICE OF CRIMINAL JUSTICE PLANNING

FROM: Community Contact
Enterprise Zone Program

SUBJECT: PREFERENCE POINTS

(check only one box)

☐ (5%) The applicant named below has targeted this enterprise zone for grant-related activities.

☐ (2%) The applicant named below has not specifically targeted this enterprise zone for grant-related activities. However, the applicant provides needed services to residents of this community.

Applicant Name: _____

Project Name: _____

Address: _____

Program Zone: _____

I certify that I have reviewed the proposed project and that it meets the eligibility requirements for preference points as required by California Government Code Section 7093.

Print name of Enterprise Zone contact Title

Signature of Enterprise Zone contact Date

Address

() _____
Telephone Number

THE PROJECT NARRATIVE
GOES HERE

No standard forms are provided for the Project Narrative.

See Programmatic Instructions for details.

THE BUDGET NARRATIVE
GOES HERE

No standard forms are provided for the Budget Narrative.

See Programmatic Instructions for details.

BUDGET CATEGORY AND LINE-ITEM DETAIL				
C. Equipment				COST
CATEGORY TOTAL				
PROJECT TOTAL				
FUND DI ST RIB UTION	FEDE RAL	ST ATE	CASH MATCH	IN-KIND MATC H
1. Amount of Funds				
2. Percentage of Funds				

**THE PROPOSAL APPENDIX
GOES HERE**

See Programmatic Instructions for details.

The two most commonly used forms in the Appendix are Operational Agreements and the Computer Purchase Face Sheet.

STATEMENT OF OPERATIONAL AGREEMENT

This Operational Agreement stands as evidence that the _____ (applicant agency) _____ and the _____ (agency) _____ intend to work together toward the mutual goal of providing maximum available assistance for crime victims residing in _____ (jurisdiction) _____. Both agencies believe that implementation of the _____ proposal, as described herein will further this goal. To this end, each agency agrees to participate in the program, if selected for funding, by coordinating/providing the following services:

1. The _____ (applicant agency) _____ project will closely coordinate the following services with the _____ (agency) _____ through:

- Project staff being readily available to _____ (agency) _____ for service provision through _____ (describe arrangements with the agency) _____;
- Regularly scheduled meetings _____ (how often) _____ between _____ (persons/positions) _____ to discuss strategies, time tables and implementation of mandated services.

* Specifically:

* List specific activities that will be undertaken between the two agencies or other specifics of the agreement.

We, the undersigned, as authorized representatives of _____ (applicant agency) _____ and _____ (agency) _____, do hereby approve this document.

For _____ For _____

Date _____ Date _____

COMPUTER PURCHASE FACE SHEET

GRANTEE:

GRANT AWARD NO:

PROJECT TITLE:

GRANT AWARD PERIOD:

From: _____, 19____ to _____, 19_____

Software Cost:

\$

Hardware Cost:

\$

Other Related Items Costs:

\$

Total Proposed Computer System Cost: \$

Total Grant Award Amount: \$

FOR OCJP USE ONLY

	Approved	Denied		
	r	r	Program Staff's Signature	Date
Under \$10,000	r	r	Branch Chief's Signature	Date
\$10,000 and over	r	r	Information Systems Branch Chief's Signature	Date
	r	r	Division Chief's Signature	Date